



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/757,904	01/10/2001	Ronald D. Ryan	13229RR (NORTH 2057000)	8289
21909	7590	07/08/2004	EXAMINER	
CARR LAW FIRM, L.L.P. 670 FOUNDERS SQUARE 900 JACKSON STREET DALLAS, TX 75202			BAUGH, APRIL L	
			ART UNIT	PAPER NUMBER
			2141	

DATE MAILED: 07/08/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/757,904

Applicant(s)

RYAN ET AL.

Examiner

April L Baugh

Art Unit

2141

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 10 January 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 3.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_.

## DETAILED ACTION

### *Claim Rejections - 35 USC § 103*

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claim 1-11, 16-17, 23-27, and 29 rejected under 35 U.S.C. 103(a) as being unpatentable over Applicant Admitted Prior Art (AAPA) in view of Narayana et al., and further in view of Welch, Jr. et al.

Regarding claims 1, 16, 23, and 29, AAPA teaches a method and apparatus for capturing communication associated information (CAI) of a communication between a subject and an associate, the method comprising the steps of: intercepting the communication, the communication comprising at least one packet and each packet comprising CAI; and reporting a first message (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 – page 3, line 19).

AAPA does not teach providing an application identifier (AID) in the at least one packet of the communication, the AID identifying the format of the CAI; extracting in accordance with the AID the CAI from the at least one packet for reporting. Narayana et al. teaches providing an application identifier (AID) in the at least one packet of the communication, the AID identifying the format of the CAI; extracting in accordance with the AID the CAI from the at least one packet for reporting (column 6, lines 45-56). Therefore it would have been obvious to one of

Art Unit: 2141

ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA by providing an application identifier (AID) in the at least one packet of the communication, the AID identifying the format of the CAI; extracting in accordance with the AID the CAI from the at least one packet for reporting because depending on the application the CAI is provided in either Layer 3 or 7 of the packet and thus by identifying the type of application the system knows where to extract the CAI from without having to illegally search the whole packet including the communication content thus making the system legal and efficient.

AAPA in view of Narayana et al. does not teach determining whether the extracted CAI is a new instance of the CAI; and reporting a first message in response to a determination that the extracted CAI is the new instance of the CAI. Welch, Jr. et al. teaches determining whether the extracted CAI is a new instance of the CAI; and reporting a first message in response to a determination that the extracted CAI is the new instance of the CAI (column 1, line 47 through column 2, line 9). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA in view of Narayana et al. by determining whether the extracted CAI is a new instance of the CAI; and reporting a first message in response to a determination that the extracted CAI is the new instance of the CAI because a conversation is broken into multiple packets and transported and the system intercepts each packet and retrieves the CAI from that packet and stores it thus creating huge amounts of records and by determining whether a packet is a new instance and only transporting those that are reduces the amounts of records stored thus freeing system storage.

Art Unit: 2141

Regarding claim 2 and 24, AAPA in view of Narayana et al. teaches the method of Claim 1 and 23, (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA in view of Narayana et al. does not teach wherein the method further comprises the steps of: determining whether a given amount of time has elapsed between packets of the at least one packet of the communication, the packets being identified by the CAI; and reporting a second message in response to a determination that the given amount of time has elapsed. Welch, Jr. et al. teaches wherein the method further comprises the steps of: determining whether a given amount of time has elapsed between packets of the at least one packet of the communication, the packets being identified by the CAI; and reporting a second message in response to a determination that the given amount of time has elapsed (column 1, line 47 through column 2, line 9). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA in view of Narayana et al. by wherein the method further comprises the steps of: determining whether a given amount of time has elapsed between packets of the at least one packet of the communication, the packets being identified by the CAI; and reporting a second message in response to a determination that the given amount of time has elapsed because a conversation is broken into multiple packets and transported and the system intercepts each packet and retrieves the CAI from that packet and stores it thus creating huge amounts of records and by determining whether a packet is a new instance and only transporting those that are reduces the amounts of records stored thus freeing system storage.

Art Unit: 2141

Regarding claim 3, 5, 11 and 17, AAPA in view of Narayana et al. teaches the method of Claim 1, 2, 4 and 16, (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA in view of Narayana et al. does not teach wherein the first, second, and third message comprises at least one of a subject identifier, a time stamp indicating when the message was sent, the IP address of the subject, a packet direction indicator identifying whether the message was sent or received by the subject, the IP address of the associate, a first instance indicator identifying the new instance of the CAI, and a counter indicating the number of packets identified by the CAI seen since a last message. Welch, Jr. et al. teaches wherein the second message comprises at least one of a subject identifier, a time stamp indicating when the message was sent, the IP address of the subject, a packet direction indicator identifying whether the message was sent or received by the subject, the IP address of the associate, a first instance indicator identifying the new instance of the CAI, and a counter indicating the number of packets identified by the CAI seen since a last message (column 1, line 47 through column 2, line 9). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA in view of Narayana et al. by wherein the second message comprises at least one of a subject identifier, a time stamp indicating when the message was sent, the IP address of the subject, a packet direction indicator identifying whether the message was sent or received by the subject, the IP address of the associate, a first instance indicator identifying the new instance of the CAI, and a counter indicating the number of packets identified by the CAI seen since a last message because a conversation is broken into multiple packets and transported and the system

Art Unit: 2141

intercepts each packet and retrieves the CAI from that packet and stores it thus creating huge amounts of records and by determining whether a packet is a new instance and only transporting those that are reduces the amounts of records stored thus freeing system storage.

Regarding claim 4 and 25, AAPA teaches the method of Claim 1 and 23, (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA in view of Narayana et al. does not teach wherein the method further comprises the steps of: determining whether a given number of packets of the at least one packet of the communication has been intercepted, the packets being identified by the CAI; and reporting a third message in response to a determination that the given number of packets identified by the CAI has been intercepted. Welch, Jr. et al. teaches wherein the method further comprises the steps of: determining whether a given number of packets of the at least one packet of the communication has been intercepted, the packets being identified by the CAI; and reporting a third message in response to a determination that the given number of packets identified by the CAI has been intercepted (column 1, line 47 through column 2, line 9). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA in view of Narayana et al. by wherein the method further comprises the steps of: determining whether a given number of packets of the at least one packet of the communication has been intercepted, the packets being identified by the CAI; and reporting a third message in response to a determination that the given number of packets identified by the CAI has been intercepted because a conversation is broken into multiple packets and transported and the system intercepts each packet and retrieves the CAI from that packet and stores it thus creating huge amounts of

Art Unit: 2141

records and by determining whether a packet is a new instance and only transporting those that are reduces the amounts of records stored thus freeing system storage.

Regarding claim 9 and 26, AAPA teaches the method of Claim 1 and 23, (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA does not teach wherein the method further comprises the step of: providing an AID-tag in the at least one packet of the communication, the AID-tag indicating the presence of the AID. Narayana et al. teaches wherein the method further comprises the step of: providing an AID-tag in the at least one packet of the communication, the AID-tag indicating the presence of the AID (column 6, lines 45-56). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA by wherein the method further comprises the step of: providing an AID-tag in the at least one packet of the communication, the AID-tag indicating the presence of the AID because depending on the application the CAI is provided in either Layer 3 or 7 of the packet and thus by identifying the type of application the system knows where to extract the CAI from without having to illegally search the whole packet including the communication content thus making the system legal and efficient.

Regarding claim 10 and 27, AAPA teaches the method of Claim 1 and 23, (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA does not teach wherein the method further comprises the steps of: providing an AID-tag in the at least one packet of the communication, wherein the AID-tag indicates the presence of the AID, and wherein the AID-tag is located in the protocol field of the Network Layer 3. Narayana et al. teaches wherein the method further comprises the steps of: providing an



Art Unit: 2141

AID-tag in the at least one packet of the communication, wherein the AID-tag indicates the presence of the AID, and wherein the AID-tag is located in the protocol field of the Network Layer 3 (column 6, lines 45-56). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA by wherein the method further comprises the steps of: providing an AID-tag in the at least one packet of the communication, wherein the AID-tag indicates the presence of the AID, and wherein the AID-tag is located in the protocol field of the Network Layer 3 because depending on the application the CAI is provided in either Layer 3 or 7 of the packet and thus by identifying the type of application the system knows where to extract the CAI from without having to illegally search the whole packet including the communication content thus making the system legal and efficient.

Regarding claim 6, AAPA teaches the method of Claim 1, wherein the AID is located in the Network Layer 3 (page 2, line 26 – page 3, line 5).

Regarding claim 7, AAPA teaches the method of Claim 1, wherein the AID is located in the protocol field of the Network Layer 3 (page 2, line 26 – page 3, line 5).

Regarding claim 8, AAPA teaches the method of Claim 1, wherein the AID is located in the optional field of the Network Layer 3 (page 2, line 26 – page 3, line 5).

3. Claims 12-15 and 28 rejected under 35 U.S.C. 103(a) as being unpatentable over Applicant Admitted Prior Art (AAPA) in view of Welch, Jr. et al.

Regarding claims 12 and 28, AAPA teaches receiving least packet of the communication, each packet comprising communication associated information (CAI); reporting the CAI (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

Art Unit: 2141

AAPA does not teach a method and apparatus for consolidating at least one packet of a communication between a subject and an associate. Welch, Jr. et al. teaches a method and apparatus for consolidating at least one packet of a communication between a subject and an associate, the method comprising the steps of: determining whether a packet is a new instance of the CAI; reporting the CAI in response to a determination that the packet is a new instance of the CAI; and reporting the CAI periodically in response to a determination that the packet is a subsequent packet (column 1, line 47 through column 2, line 9). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA by consolidating at least one packet of a communication between a subject and an associate because a conversation is broken into multiple packets and transported and the system intercepts each packet and retrieves the CAI from that packet and stores it thus creating huge amounts of records and by determining whether a packet is a new instance and only transporting those that are reduces the amounts of records stored thus freeing system storage.

Regarding claim 13, AAPA teaches the method of claim 12 (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA does not teach determining whether a packet is a new instance of the CAI is performed by comparing the CAI with a previous CAI. Welch, Jr. et al. teaches wherein the step of determining whether a packet is a new instance of the CAI is performed by comparing the CAI with a previous CAI (column 1, line 47 through column 2, line 9). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA by

Art Unit: 2141

determining whether a packet is a new instance of the CAI is performed by comparing the CAI with a previous CAI because a conversation is broken into multiple packets and transported and the system intercepts each packet and retrieves the CAI from that packet and stores it thus creating huge amounts of records and by determining whether a packet is a new instance and only transporting those that are reduces the amounts of records stored thus freeing system storage.

Regarding claim 14, AAPA teaches the method of Claim 12 (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA does not teach a method and apparatus for determining whether a packet is a new instance CAI is performed by allowing a given amount of time to elapse since the receipt the least one packet. Welch, Jr. et al. teaches wherein the step of determining whether a packet is a new instance CAI is performed by allowing a given amount of time to elapse since the receipt the least one packet (column 1, line 47 through column 2, line 9). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA by determining whether a packet is a new instance CAI is performed by allowing a given amount of time to elapse since the receipt the least one packet because a conversation is broken into multiple packets and transported and the system intercepts each packet and retrieves the CAI from that packet and stores it thus creating huge amounts of records and by determining whether a packet is a new instance and only transporting those that are reduces the amounts of records stored thus freeing system storage.

Art Unit: 2141

Regarding claim 15, AAPA teaches the method of claim 12 (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA does not teach the CAI report comprises at least one of a subject identifier, a time stamp indicating when the message was sent, the IP address of the subject, a packet direction indicator identifying whether the message was sent or received by the subject, an associate identifier, a first instance indicator identifying the new instance of the CAI, and a counter indicating the number of packets identified by the CAI seen since a last report. Welch, Jr. et al. teaches wherein the CAI report comprises at least one of a subject identifier, a time stamp indicating when the message was sent, the IP address of the subject, a packet direction indicator identifying whether the message was sent or received by the subject, an associate identifier, a first instance indicator identifying the new instance of the CAI, and a counter indicating the number of packets identified by the CAI seen since a last report (column 1, line 47 through column 2, line 9). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA by wherein the CAI report comprises at least one of a subject identifier, a time stamp indicating when the message was sent, the IP address of the subject, a packet direction indicator identifying whether the message was sent or received by the subject, an associate identifier, a first instance indicator identifying the new instance of the CAI, and a counter indicating the number of packets identified by the CAI seen since a last report because a conversation is broken into multiple packets and transported and the system intercepts each packet and retrieves the CAI from that packet and stores it thus creating huge amounts of

Art Unit: 2141

records and by determining whether a packet is a new instance and only transporting those that are reduces the amounts of records stored thus freeing system storage.

4. Claims 18-22 and 30 rejected under 35 U.S.C. 103(a) as being unpatentable over Applicant Admitted Prior Art (AAPA) in view of Narayana et al.

Regarding claims 18, 21, and 30, AAPA teaches a method and apparatus for in the at least one packet of a communication, comprising: communication associated information (CAI) (page 1, lines 2-9 and page 2, lines 6-11 and 15-16 and 20-25 and page 2, line 26 –page 3, line 19).

AAPA does not teach indicating the format of the CAI in a packet of communication. Narayana et al. teaches indicating the format of CAI in at least one packet of a communication, the method comprising the steps of providing an application identifier tag in the at least one packet, the application identifier indicating the presence of an application identifier and communication associated information (CAI); and providing the application identifier in the at least one packet, the application identifier indicating the format of the CAI (column 6, lines 45-56). Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to further modify the lawful interception of communication associated information by AAPA by indicating the format of the CAI in a packet of communication because depending on the application the CAI is provided in either Layer 3 or 7 of the packet and thus by identifying the type of application the system knows where to extract the CAI from without having to illegally search the whole packet including the communication content thus making the system legal and efficient.

Art Unit: 2141

Regarding claims 19 and 22, AAPA teaches the method of Claim 18 and 21, wherein the application identifier tag is located in the protocol field of the Network Layer 3 (page 2, line 26 – page 3, line 5).

Regarding claim 20, AAPA teaches the method of Claim 18, wherein the application identifier is located in the optional field of the Network Layer 3 (page 2, line 26 – page 3, line 5).

### ***Conclusion***

5. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. The following patents are cited to further show the state of the art with respect to lawful interception of communication associated information in general: Cunningham et al., Pyke et al., Dikmen et al., Hippelainen, and Albers et al.


Any inquiry concerning this communication or earlier communications from the examiner should be directed to April L Baugh whose telephone number is 703-305-5317. The examiner can normally be reached on Monday-Friday 8:30am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Rupal D Dharia can be reached on 703-305-4003. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Art Unit: 2141

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

ALB

  
RUPAL DHARIA  
EXAMINER